Technology Needs Assessments (TNA) Phase IV

Review CEO Endorsement and Make a recommendation

Basic project information

GEF ID

10171

Countries

Global (Bahamas, Lesotho, Kiribati, Comoros, Ethiopia, Guinea-Bissau, Maldives, Niue, Papua New Guinea, Solomon Islands, Somalia, South Sudan, St. Kitts and Nevis, Timor Leste, Tonga, Tuvalu, Yemen)

Project Name

Technology Needs Assessments (TNA) Phase IV

Agencies

UNEP

Date received by PM

3/6/2020

Review completed by PM

Program Manager
Katya Kuang-Idba
Focal Area
Climate Change
Project Type
EA

Non-Expedited Enabling Activity req (PIF) ☐
Non-Expedited Enabling Activity req (CEO) ☐

Part 1: Project Information

Focal area elements

Is the enabling activity aligned with the relevant GEF focal area elements as indicated in Table A and as defined by the GEF 7 Programming Directions?

Secretariat Comment at PIF/Work Program Inclusion
GEFSEC, 3/11/2020 - Yes. This project supports the development of technology needs assessments (TNAs) in 17 SIDS and LDCs.

Agency Response
Project description summary

Is the project structure/ design appropriate to achieve the expected outcomes and outputs as in Table B and described in the project document?

Secretariat Comment at PIF/Work Program Inclusion GEFSEC, 3/11/2020 - Yes.

Agency Response
Co-financing

Are the confirmed expected amounts, sources and types of co-financing adequately documented, with supporting evidence and a description on how the breakdown of co-financing was identified [and meets the definition of investment mobilized, and a description of any major changes from PIF, consistent with the requirements of the Co-Financing Policy and Guidelines?]

Secretariat Comment at PIF/Work Program Inclusion

ndGEFSEC, 3/10/2020 - Yes. Signed co-financing letters amounting to a total of USD $1 million in in-kind support have been uploaded onto the roadmap.

Clarification requested and issue to be noted: ==Two additional questions: The co-financing letter from CTCN indicates co-financing of $910,000, whereas it's listed as $800,000 in Table C. How much is each individual government contributing respectively resulting in the total $375k?==

GEFSEC, 4/16/2020 - This is noted. It seems only the information at PIF was displaying on the portal. This is cleared for the CEO ER.

Agency Response
UNEP:06/04/2020

We do not understand these comments. Table C on the GEF portal shows US$ 910,000 for CTCN's co-finance contribution, as per the co-finance letter. Table C also of the portal also shows US$ 425,000 for the 17 countries' contribution. Each country contributes with an estimated US$ 25,000 of co-finance.

GEF Resource Availability

Is the proposed GEF financing in Table D (including the Agency fee) in line with GEF policies and guidelines?

Secretariat Comment at PIF/Work Program Inclusion GEFSEC, 3/11/2020 - Yes.

Agency Response

Are they within the resources available from:
The STAR allocation?

Secretariat Comment at PIF/Work Program Inclusion NA

Agency Response
The focal area allocation?

Secretariat Comment at PIF/Work Program Inclusion NA

Agency Response
The LDCF under the principle of equitable access

Secretariat Comment at PIF/Work Program Inclusion NA

Agency Response
The SCCF (Adaptation or Technology Transfer)?

Secretariat Comment at PIF/Work Program Inclusion NA

Agency Response
Focal area set-aside?

Secretariat Comment at PIF/Work Program Inclusion GEFSEC, 3/9/2020 - Yes. The LDCs and SIDS included in this proposal are eligible to draw upon set aside resources to finance their TNAs.

Agency Response

Is the financing presented adequate and demonstrate a cost-effective approach to meet the project objectives?

Secretariat Comment at PIF/Work Program Inclusion GEFSEC, 3/11/2020 - Yes.

Agency Response
Part 2: Enabling Activity Justification

Background and Context.

Are the achievements of previously implemented enabling activities cited since the country(ies) became a party to the Convention?

Secretariat Comment at PIF/Work Program Inclusion

GESFEC, 3/9/2020 - More information requested. While the submission does outline the main lessons from previously implemented TNA projects, the Secretariat would appreciate a briefly articulated overview of: (i) how many TNAs have been delivered total as a result of the three previous phases; (ii) how many TAPs have been delivered; (iii) Any concrete follow up on TNAs and TAPs that the project team is aware of; (iv) Summarize all participating countries which have undertaken the TNA exercise already, and the results (As far as I see, only Lesotho is mentioned here, despite knowing that at least several other countries already have TNAs, such as Ethiopia). Additionally. within the context of countries which have already conducted TNAs, how will this project build on this? This information was requested at PIF, and provided in emails, but do not see it reiterated here.

GEFSEC, 4/16/2020 - This information is appreciated and this item is cleared.

Agency Response
UNEP:06/04/2020

Responses to comments (i) & (ii):
An overview of 1st generation TNAs as well as countries participating in TNA Phase I - III is provided in the section 'A.2. Baseline scenario and any associated baseline projects', including through an overview table p.5-7 of the UNEP Project Document (section A.2 of the EA request). Ethiopia was part of TNA Phase I but withdrew before submitting any deliverables.
TNA Phase I: 36 countries, 35 TNAs, 33 TAPs (Lao PDR and Kazakhstan only delivered TNAs)
TNA Phase II: 27 countries, 25 TNAs, 27 TAPs (Lao PDR and Kazakhstan delivered TAPs)

TNA Phase III: 23 countries, in process/ongoing

Responses to comment (iii):
This goes beyond the project scope, hence we do not systematically collect this information, partly because it often takes time before concrete follow up materializes and we do not have resources for it. However, the terminal evaluations of both TNA Phase I and TNA Phase II do provide some information on this, and the UNFCCC TEC also produced recently a paper on the subject (also referenced p.7 of the UNEP Project Document - section A.2 of the EA request) https://unfccc.int/ttclear/misc_/StaticFiles/gnwoerk_static/tn_meetings/9c6eeaa690534874bbcbb85bada9882c/b566fb9540cd4932b5503a0518d2af94.pdf . We have also compiled some implementation examples in 3 'TNA Stories' publications available at https://tech-action.unepdtu.org/resources/?fwp_content_type=tna-story

Responses to comment (iv):
All participating countries so far are summarized in the table p. 5-7 of the UNEP Project Document (section A.2 of the EA request). They all delivered TNA and TAP reports. Lao PDR and Kazakhstan both delivered only TNA reports under TNA Phase I and TAP reports under TNA Phase II, hence they were part of both TNA Phase I and II.

Responses to comment (v):
The information related to this comment is included in p.8 of the UNEP Project Document (section A.2 of the EA request). In addition, it can be mentioned that those countries having a 1st generation TNA, will of course have it as a starting point for their new TNA/TAP but considering that the 1st generation TNAs are at least 12 years old, countries will most likely mainly build their new TNAs and TAPs on NDCs and more recent development plans. P. 8 of the UNEP Project Document: *'Finally, it is noteworthy to mention that among these 17 countries, some have undergone a so-called "1st generation" Technology Needs Assessment (prepared before 2008). At that time no barrier analyses, identification of enabling frameworks for technology transfer nor Technology Action Plans (TAP) had been performed – activities that will now be completed as part of the TNA Phase IV project. The results of these "1st generation" TNAs led to inform national sector strategies, rather than to the implementation of actual technology inclusive projects.'*

Goals, Objectives, and Activities.

Is the project framework sufficiently described?

Secretariat Comment at PIF/Work Program Inclusion GEFSEC, 3/11/2020 - Yes. The TNA IV project is structured using a proven approach that has been tested in the first three phases. The current projects build on the lessons learned from previous phases.

Agency Response

Stakeholders.

Does the project include detailed report on stakeholders engaged during the design phase? Is there an adequate stakeholder engagement plan or equivalent documentation for the implementation phase, with information on Stakeholders who will be engaged, the means of engagement, and dissemination of information?

Secretariat Comment at PIF/Work Program Inclusion

GEFSEC, 3/11/2020 - More information requested. An indicative plan on stakeholder engagement, including the identification/mapping of critical stakeholders would be expected for this stage of project development.

GEFSEC, 4/16/2020 - This is cleared. Again, information from PIF was displayed instead of CEO ER stage on the portal, which explains the discrepancy here.

Agency Response
UNEP:06/04/2020

The EA request already includes a stakeholder engagement plan in section B.2) Stakeholders (refer to pages 23-26 of the UNEP Project Document).

Gender equality and women's empowerment.

Has the gender analysis been completed? Did the gender analysis identify any gender differences, gaps or opportunities linked to project/program objectives and activities? If so, does the project/program include gender-responsive activities, gender-sensitive indicators and expected results?

Secretariat Comment at PIF/Work Program Inclusion GEFSEC, 3/12/2020 - Yes. there is a Gender analysis and GAP included in the submission.

Agency Response
Monitoring and Evaluation.

Does the project include a budgeted M&E Plan?

Secretariat Comment at PIF/Work Program Inclusion
GEFSEC, 3/12/2020 - Clarification requested: There are only two budget lines - what about PIRs and other monitoring documentation?

GEFSEC, 4/16/2020 - Noted and cleared.

Agency Response
UNEP:06/04/2020

PIRs and other monitoring documents/reports are prepared as part of the project management team's duties. As for past TNAs, we do not have a dedicated budget line for those reports.

Cost Effectiveness.

Is the project cost effective?

Secretariat Comment at PIF/Work Program Inclusion GEFSEC, 3/9/2020 - Yes. This project utilizes an umbrella approach to include numerous developing countries in one project to identify and prioritize climate technologies in each respective country. TNAs have a proven track record and have been recognized as an effective tool in supporting countries to prepare project pipelines for technology-related projects for funding from the FMs of the UNFCCC (and other sources).

Agency Response
Cost Ranges

If there was a deviation in the cost range, was this explained?

Secretariat Comment at PIF/Work Program Inclusion NA

Agency Response
Part III. Endorsement/ Approval by OFP

Country endorsement

Has the project been endorsed by the country's GEF Operational Focal Point and has the name and position been checked against the GEF database?

Secretariat Comment at PIF/Work Program Inclusion
GEFSEC, 3/12/2020 - Two LOEs are not from current OFPs.

Recommended action:

Please note and rectify the following issues:

- Yemen LOE is not signed by current OFP, Ammar Al-Alauqi

- Somalia LOE is not signed by current OFP, H.E. Mohammed Gulaid

- There is a letter from the OFP of Equatorial Guinea, which graduated from LDC status in 2017. This country does not seem to be included in the submission, please confirm that it is not participating.

GEFSEC, 4/16/2020 - This is cleared.

Agency Response

UNEP:06/04/2020

We have requested updated Letters of Endorsement for Somalia and Yemen, signed by the current OFPs. These are included in the resubmission.

The letter for Equatorial Guinea belongs to an older submission and should no longer be considered, since this country is not part of the project. It can be ignored and removed from the GEF Portal.

Response to Comments

Are all the comments adequately responded to? (only as applicable)

GEF Secretariat Comment GEFSEC, 3/12/2020 - Not yet.

Agency Response
Other Agencies comments?

Secretariat Comment at PIF/Work Program Inclusion NA

Agency Response

Council comments

Secretariat Comment at PIF/Work Program Inclusion

GEFSEC, 3/12/2020 - Comments from Canada and Germany were shared with the agency in October 2019. They do not seem to be included on the portal admission.

Recommended action: Please advise where the responses to comments from the German and Canadian Council member(s) are located and whether and how they have been addressed.

GEFSEC, 4/16/2020 - It would be most preferable for Council comments to be uploaded onto the submission itself but this is noted and cleared.

Agency Response
UNEP:06/04/2020

Responses to US, Germany and Canada Council comments have been provided in Annex B of the EA request (refer to pages 55-57 of the UNEP Project Document).
STAP Comments

Secretariat Comment at PIF/Work Program Inclusion

GEFSEC, 3/12/2020 - If comments were received from STAP, please also included these as an annex on the portal submission.

GEFSEC, 4/16/2020 - This is cleared.

Agency Response

UNEP:06/04/2020

No comments were received from STAP.
Convention Secretariat comments

Secretariat Comment at PIF/Work Program Inclusion

Agency Response

CSOs comments

Secretariat Comment at PIF/Work Program Inclusion NA

Agency Response

UNEP responses to GEF Sec comments in below RECOMMENDATION section of the review sheet (21/04/2020):

1) We confirm Cabo Verde will <u>not</u> be included in the TNA Phase IV project.

2) In the GEF Portal, the field dedicated to identify the participating countries cannot be edited at the Agency level, so we are not able to add Lesotho and the Bahamas from our end. These countries are however mentioned in the PDF version of the UNEP Project Document.**We have a sent an email request to the WB IT team to add the two countries on our behalf into the GEF Portal**

3) The TNA Phase IV PIF request and review sheet are no longer editable on the GEF Portal, since they were already approved / cleared by the GEF. However, the TNA Phase IV CEO Endorsement request shows that Bahamas is now part of the TNA Phase IV project, since the country was added as part of the Major Amendment request.

GEFSEC DECISION

RECOMMENDATION

Is CEO Endorsement/approval recommended?

Secretariat Comment at PIF/Work Program Inclusion

GEFSEC, 3/12/2020 - Not yet. Please refer to flagged items and resubmit for consideration.

GEFSEC, 4/17/2020 - Not yet. 3 final clarifications requested:

1) The letters from the the OFPs of Somalia and Yemen are well received and noted. However, please provide clarification - based on recent emails received from the project team, Somalia was to be removed and replaced with Cabo Verde. Is this no longer the case? Please confirm.

2) At the top of the CEO endorsement request on the portal, the countries identified do not include Bahamas and Lesotho.

3) In the PIF request, Bahamas is still listed as one of the countries which did not respond to a call for interest to join Phase IV. Please remove.

Please address the above and resubmit for consideration.

GEFSEC, 4/23/2020 - The above items are cleared and this project is being recommended for technical clearance.

*As per the Guidelines on the GEF Policy on Environmental and Social Safeguards, the Secretariat, in its review, has assessed the provide information on environmental and social risks and potential impacts associated with the project or program, including associated documents (if any) and response measures to address identified risks and impacts.

Review Dates

	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
First Review		
Additional Review (as necessary)		
Additional Review (as necessary)		
Additional Review (as necessary)		
Additional Review (as necessary)		

CEO Recommendation

Brief reasoning for CEO Recommendations

GEFSEC, 4/23/2020 - The GEF-UNEP project, (GEF ID 10171) "Technology Needs Assessment (TNA), Phase IV", will provide participating countries targeted financial and technical support to prepare new or updated and improved TNAs, including Technology Action Plans, for prioritized technologies that reduce GHG emissions, support adaptation to climate change, and are consistent with Nationally Determined Contributions and national sustainable development objectives. The project has one single Outcome (Outcome 1): Technology Needs Assessment (TNA) processes conducted by national stakeholders in the 15 participating countries, and TNA/TAP results available to be integrated into national planning processes and to be funded and implemented by interested stakeholders. Participating countries will also gain improved in-country capacity on the methodologies and process of conducting a TNA, including stakeholder engagement, multi-criteria analysis, barrier analysis, and preparation of project concepts. The TNA IV project is structured around a proven approach that has been tested in the first three phases, while building lessons learned. The TNA process enshrines sustainability into respective national frameworks for developing environmentally sound green technologies by creating a home and a way forward for this end goal.